

Code of Ethics for DMV Employees

The purpose of this policy is to establish and maintain high standards of honesty, integrity, and quality of performance for all employees of the Department of Motor Vehicles (DMV). Individuals in government service have positions of significant trust and responsibility that require them to adhere to the highest ethical standards. Standards that may be acceptable within other organizations are not necessarily acceptable for the DMV. Ethical conduct and the avoidance of even the appearance of impropriety are of critical importance in our relationships with all members of the public, other agencies and private contractors.

This ethics policy is intended to be a general guide in determining what conduct is prohibited so that it may be avoided. It is intended to supplement and not supersede the Code of Ethics for State Employees, and other, applicable provisions of the Connecticut General Statutes.

It is expected that all employees will comply with the guidelines contained in this policy. Violations of these guidelines and prohibitions may subject an employee to sanctions from agencies or systems external to this agency. Whether this occurs or not, the Department retains the right to independently review and respond administratively to any alleged violations by an employee.

The following represents the minimum expectations for compliance. In as much as it is not possible to write a policy to cover each and every business transaction, employees are encouraged to direct questions or concerns to their Supervisor, Manager, Human Resources Manager, Commissioner, or the State Ethics Commission.

A copy of this policy and any pertinent statutes will be provided to all employees, and will be posted throughout the agency. The topic of ethics will be incorporated within the orientation program for all new employees. Additionally, the DMV will provide a copy of this policy to all vendors, contractors, and other business entities doing business with the agency.

Prohibited Activities and Exclusions

Gifts, Discounts and Gratuities

No employee shall either individually or as a member of a group, directly or indirectly, accept or solicit any gift, discount or gratuity from any person or organization that previously had, currently has, or is expected to have a business relationship with the DMV or anyone acting on behalf of such a person or organization. Gift, discount, or gratuity refers to any object or payment that is not offered to the public at large. This prohibition extends to the solicitation or receipt of gifts, discounts, or gratuities from any member of the public, including agency customers, lobbyists, business interests, and regulated entities as an inducement for influencing official action or judgement. Included among the items are luncheon and/or dinner payments, golfing fees, fees for social events, motor vehicle rebates and discounts, bottles of liquor and concert and sports tickets. This list should not be considered all-inclusive.

An employee should avoid those situations that may result in his/her being found in a conflict of interest or which may give the appearance of a conflict of interest.

Employees may be permitted to visit the sites of vendors at the vendor's expense, whether in state or out of state, for educational purposes or specific technical training. However, the visits and their purposes must have been specified as part of a procurement and the resulting contract documentation. The employees in these situations must still receive prior travel authorization from all appropriate state officials. This action must occur even though there is no cost to the State.

All other official visits to vendor facilities by DMV employees must be at the State's expense, unless specifically approved by the Commissioner or his/her designee.

There are situations where the value of an object offered to the public at large is of little or no consequence and the action does not fall within the provisions of this Code of Ethics. Items such as pencils, ballpoint pens and similar items used as advertisement "give-aways" fall within this category.

As used herein, "gift" means anything of value directly and personally received including any discount, gratuity or other benefit, except:

- Admission to a charitable or civic event, including food and beverage provided at the event, at which the employee participates in his/her official capacity, if the amenities are provided by the primary sponsoring agency.
- Goods or services which are provided to the State to facilitate state action or functions for use on State property, or to support an event or the participation by a public official or State employee at an event (under some circumstances the gift must receive approval by the Ethics Commission).

Outside Employment, Business Interests and Confidentiality

No employee shall allow personal business or obligations to take precedence over his/her responsibilities to the DMV. This prohibition is not intended to preclude an employee from responding to emergency situations. However, such situations should be the exception, rather than the norm. Supervisors are expected to use reasonable discretion in enforcing these provisions. Unless otherwise specified, an employee is not prohibited from engaging in outside employment so long as there is no actual or apparent conflict of interest.

Employees must, however, avoid any outside employment or outside activity that interferes with his/her normal work time, or that affects the satisfactory performance of his/her state duties. Any outside employment that might discredit or reflect unfavorably on the employee or the DMV must be avoided. Employees are prohibited from performing work for any business regulated by the DMV. Employees must not engage in any outside employment or business activity that gives rise to a real or apparent conflict of interest. (An "apparent conflict of interest" arises whenever actions of an employee create the appearance to an objective and informed person, knowing all the relevant facts, that the employee is violating a provision of law or this policy).

Employees are prohibited from obtaining outside employment that will impair their independence of judgement or require or induce disclosure of confidential information gained in State employment. The question of what constitutes an impairment will be determined by the Ethics Commission.

Employees are prohibited, during the course of performing their job responsibilities, from recommending or suggesting to any customer the purchase of any service or product from a specifically named repair facility, automobile dealership, or other business regulated by the DMV.

No employee shall seek or accept employment with, or compensation from any consultant, contractor, appraiser or any other organization or individual under contract or agreement with the DMV.

No employee, or member of his/her immediate family, or business with which he/she is associated, may enter into a personal services contract or other contract, other than a contract of employment as a state employee with the Department of Motor Vehicles valued at \$100 or more, unless the contract has been awarded through an open and public process.

An employee is prohibited from using his/her state office or position for financial gain for himself, his/her spouse, child, child's spouse, parent, brother or sister or business with which he/she is associated.

Additionally, no employee shall have, directly or indirectly, a financial interest in any business, firm or enterprise doing business with the DMV that could cause a conflict of interest or influence the performance of the employee's duties. The financial interest

referred to in this provision is not intended to apply to individuals who own less than five percent (5%) of the stock of a publicly owned corporation. The provisions of the State Code of Ethics must be strictly adhered to in this area.

Employees are prohibited from disclosing DMV file information to any individual, organization, or business entity that does not have a legitimate business or legal entitlement to such information, except as may be specifically required or authorized by the job duties of their position. Only those individuals who have been so authorized, may disclose DMV file information. No employee shall disclose personal file information from DMV records except under the conditions permitted by Public Act 97-266, "An Act concerning compliance with the Federal Driver's Privacy Protection Act," and in a manner consistent with the Personal Data Act, as contained within Sections 4-190 to 4-197, inclusive, of the Connecticut General Statutes, and all other laws and regulations which concern access to personal data maintained by the Department.

Personal Advertising, Solicitation and Sales

An employee shall not solicit or canvass within the DMV for the sale of any goods, services or personal business without the written approval of the Chief Administrative Officer. Such soliciting or canvassing, even with permission, shall not involve soliciting from subordinates, nor shall it be done on state time. This prohibition does not extend to charitable fund raising activities approved by the Commissioner such as the Connecticut State Employees Campaign for Charitable Giving or events sponsored by the Employee Recognition Committee.

An employee is not allowed to post or distribute advertising material for such purposes without the express permission of the Chief Administrative Officer. An employee is not allowed to use his/her business address, telephone number, title or status in any way to promote, advertise or solicit personal business.

Fees and Honorariums

An employee may not accept a fee or honorarium for an article, appearance, speech, or for participation at an event when performed in his or her official capacity. *An employee is allowed to accept payment or reimbursement for necessary expenses for any such activity in his/her official capacity.* An employee need only report the payment or necessary expenses to the State Ethics Commission if the payment or reimbursement includes lodging, out-of-state travel, or both. "Necessary expenses" are limited to: necessary travel expenses, lodging for the nights before, of, and after the appearance, speech or event; meals; and any related conference or seminar registration fees.

The paramount issue to be considered is whether the activity in question is performed in the employee's "official capacity." As a general rule, if a state employee is asked to participate in an event, speak, appear, or write an article and the employee's official position or authority was a significant factor in the decision to extend the invitation, then it will be

deemed to be in his/her official capacity.

If, however, a state employee has developed an expertise in a particular field and he/she is asked to participate in an event, speak, appear or write an article as a result of his/her knowledge and expertise, then the employee is not prohibited from accepting a fee or honorarium although the employee must use personal or vacation time if the event occurs during the work day. Note that these situations are very fact specific. Employees are encouraged to contact the State Ethics Commission, as necessary, for clarification and guidance.

Political Activities

Employees are not prohibited from seeking political office as long as it is not done on State time or using State equipment and supplies. However, any State employee who is elected to any state political office *may not* hold two government positions simultaneously. Therefore, any employee elected or appointed to State political office must resign or take a leave of absence from his/her position with the DMV. Employees should consult with the State Ethics Commission prior to participating in a political campaign.

An employee seeking or holding office as permitted by Section 5-226 of the Connecticut General Statutes must notify the Division of Human Resources of this fact in writing.

No employee of the DMV may engage in partisan political activities while on state time. Additionally, no employee may use state materials, facilities or equipment for the purpose of participating in, or influencing a political campaign election for any public office.

Under some circumstances, employees may be covered by the provisions of the federal Hatch Act. In general, the law covers employees whose principal employment is in connection with an activity that is financed in whole or in part by loans or grants made by the United States or a Federal agency. The provisions of the Hatch Act continue to apply while the employee is on vacation leave, sick leave, leave without pay, and personal leave. An employee who is subject to the provisions of the Hatch Act *may*:

- Express his/her opinions on political subjects and candidates;
- Take an active part in political management and political campaigns; and,
- Be a candidate for office in a political party.

An employee who is subject to the provisions of the Hatch Act *may not*:

- Use his/her official authority or influence for the purpose of interfering with or affecting the result of an election or nomination for office; or,
- Directly or indirectly coerce, attempt to coerce, command, or advise a state or local official or employee to pay, lend, or contribute anything of value to a party,

committee, organization, agency, or person for political purposes, or be a candidate for public elective office in a partisan election.

It is important to point out that *it is only the candidacy for office that is prohibited, not holding office*. Thus, if an employee holds an elective office when appointed to a position covered by the Hatch Act, the employee may continue to serve but may not be a candidate for reelection in partisan election. Likewise, an employee may accept an appointment to fill a vacancy in an elective office while concurrently serving in a covered position. An employee holding or accepting office as provided above must notify the Division of Human Resources of this fact in writing.

Transactions Involving Relatives, Friends and Acquaintances

No DMV employee shall use his/her position or influence to gain employment for a relative, business partner, associate, client, etc. Relatives or others having special relationships with current employees are not prohibited from seeking employment with the DMV. However, no influence can be exerted to give the relative or other person an advantage over others in the competitive selection process. Relatives or others having special relationships with current employees may be considered for employment provided that the relative or other having a special relationship with a current employee would not be placed under the direct supervision of the employed relative or other person having a special relationship with a current employee, or in any position where the employed relative or other person having a special relationship with a current employee would be in a position to influence the salary, benefits, working conditions or other personnel transactions such as performance reviews or disciplinary transactions. *This policy shall not be interpreted to require the automatic transfer, reassignment, or other personnel change, when such relationship exists upon implementation of the policy.* The DMV reserves the right to take appropriate corrective action to remedy problems that may be created by such relationships.

Employees must be aware that signing certain documents may result in a violation of the State Code of Ethics if such actions would result in a financial benefit to a relative. Examples would be personnel forms, including performance appraisals, vouchers, reimbursement forms, contracts, and similar types of forms. Caution should be exercised, as a violation may occur even though unintentional.

Employees are prohibited from directly performing any transaction involving licensing, inspection, document verification or validation for themselves, friends or relatives.

Employees may not use their employment status in an attempt to interfere with, or influence the outcome of any DMV proceedings involving the application of any state motor vehicle law as it may pertain to their own personal situation, the situation of friends or relatives, or as a favor to any person.

No DMV employee shall directly or indirectly, use, represent to use, promise or endeavor to use influence or official or political authority to secure for any person any appointment or prospect of appointment to any position within the classified service or to take any action contrary to any

provision of the Connecticut General Statutes and State Personnel rules and regulations with respect to the examination, appointment and promotion of agency personnel.

Activities Upon Leaving State Service

The State's ethics law and regulations prohibit state employees from performing certain activities upon leaving State service. Some of these prohibitions are limited to specific periods of time. Other prohibitions remain for the individual's lifetime. These situations are very case specific and employees should contact the State Ethics Commission for guidance. Former employees are prohibited from:

Disclosing or using confidential information, gained in State service, for the financial benefit of any person.

Representing anyone (other than the State) concerning any particular matter (1) in which he/she participated personally and substantially while in State service and (2) in which the State has a substantial interest.

After leaving State service for one year, representing anyone (other than the State) for compensation before the Agency in which he/she was employed at the time of leaving State service, concerning any matter in which the State has a substantial interest.

Accepting employment with a party (other than the State) to a contract in which he/she participated substantially, or supervised the negotiation or award of a State contract valued at \$50,000 or more. This prohibition exists for one year after resignation from State service if the resignation occurs within one year after the contract was signed.

Other

The use of state equipment, including telephone, computers, including e-mail, fax machines, and state vehicles for personal, non-work related purposes is prohibited. (Please refer to this agency's and the State's policies regarding the use of computers and related equipment.)

A GUIDE TO THE CODE OF ETHICS FOR

PUBLIC OFFICIALS AND STATE EMPLOYEES

2004

NOTE: This Guide summarizes only the main points of the Code. For the full text, with all conditions and exceptions, consult Connecticut General Statutes, Chapter 10, Part I. For interpretations of the Code contact the Ethics Commission.

WHO MUST COMPLY: All state officials and employees (except judges). **NOTE:** all officials and employees of the State's Quasi-Public Agencies are included in the Code's definitions of "public official" or "state employee", and are subject to the Code. The provisions on the last page apply to former public officials and state employees.

WHAT STANDARDS DOES THE CODE SET: The ethical rules are contained in Connecticut General Statutes §§1-84 through 1-86. Basically, these sections are intended to prevent one from using public position or authority for personal financial benefit. The principal provisions of §1-84 prohibit:

- acceptance of outside employment which will impair independence of judgment as to official duties or require or induce disclosure of confidential information gained in state service. (Generally outside employment is barred if the private employer can benefit from the state servant's official actions. For example, the individual in his or her state capacity has regulatory or contractual authority over the private entity. A state servant is not prohibited, however, from using his or her expertise for private gain, as long as no provision of the Code is violated in the process);

- use of public position or confidential information gained in state service for the financial benefit of the individual, his or her family (spouse, child, child's spouse, parent, brother or sister), or an "associated business" (defined to include any entity through which business for profit or not for profit is conducted in which the state servant, or an immediate family member, is a director, officer or owner) (**NOTE:** There is an exception to this definition, however, for unpaid service as an officer or director of a non-profit entity.);

- representation of another for compensation, or being a member of a business which represents a client for compensation, before: Banking Department; Connecticut Siting Council; Department of Environmental Protection; Claims Commissioner; office within Consumer Protection Department which carries out duties of the former Department of Liquor Control; Connecticut Real Estate Commission; Department of Public Utility Control; Department of Motor Vehicles; Insurance Department; State Insurance Purchasing Board; Gaming Policy Board; Division of Special Revenue; and Office of Health Care Access. (Excepted from this prohibition are members of boards, commissions, and quasi-public agencies who receive no compensation other than per diem, expenses, or both, and teaching or research professional employees of public institutions of higher education provided their actions are not otherwise in violation of the Code of Ethics.);

- solicitation or acceptance of anything of value based on an understanding that one's official action will be influenced thereby. (Prohibition applies to candidates and to anyone offering or giving the thing of value);

-entering into contracts with the State valued at \$100 or more, unless the contract has been awarded through an open and public process. (Ban extends to immediate family and associated businesses but excepts executive branch and quasi-public agency officials who receive no compensation except per diem, expenses, or both, unless official has control over subject matter of contract. Contracts of employment as a state employee and contracts made by court appointment are exempt from the provision.) Additionally, no executive head of an agency; no executive head of a quasi-public agency; and no member of such individual's immediate family or a business with which he is associated may enter into any contract with that agency or quasi-public agency;

-acceptance of any gift or gifts from one known to be a registered lobbyist or lobbyist's representative. (Limitation also applies to candidates, immediate family and staff members. "Gift" does not include food and drink totaling less than fifty dollars per person in a calendar year, if consumed on occasions at which the lobbyist, or a representative of the lobbyist, furnishing the food and drink is in attendance. In a restaurant setting, for the exception to apply, the lobbyist must be seated at the same table as the public official during the portion of the drinks or meal for which the lobbyist pays. Among the other items excluded from the term are presents given by individuals incident to "major life events", ceremonial awards costing less than one hundred dollars, benefits costing less than ten dollars per person per occasion up to fifty dollars total in a calendar year, and gifts to the state.);

-acceptance of any gift or gifts from any person doing business with, seeking to do business with or directly regulated by the state servant's agency or department. (NOTE: the same exceptions to the lobbyist gift provision listed above also apply to this gift limitation.)

-acceptance of any fee or honorarium given in return for a speech or appearance made or article written in one's official capacity. (Acceptance of the individual's necessary expenses is permissible, however.);

-interference with or solicitation of lobbying contracts for any person.

Section 1-85 (substantial conflict) and §1-86 (potential conflict) are distinct but related provisions to consider when a possible conflict is identified:

- (1) If faced with taking official action which you can expect will directly affect your financial interests, or that of your spouse, dependent child, or an associated business, distinct from others in your occupation or group (e.g., taking official action on the awarding of a contract to a private business you own) you have a substantial conflict of interest under §1-85 and may not act under any circumstances.
- (2) However, if your financial interest is shared by the other members of your profession, occupation, or group (e.g., a public official/teacher acting on a matter that will result in a uniform financial benefit to all teachers) you proceed under the rules of §1-86. Specifically: (A) if one is a member of a regulatory agency, one must either be excused or prepare, under penalty of false statement, a written statement (to be placed in the minutes of the individual's agency, copy to the Ethics Commission) describing the potential conflict and stating why, despite the situation, one can act fairly, objectively and in the public interest; or (B) if not a member of a regulatory agency, the individual must prepare a written statement, under penalty of false statement, which describes the potential conflict. The individual must deliver the statement to his or her superior, who will assign the matter to another who is not subordinate to the individual with the conflict. (If one has no immediate superior, deliver the statement to the Ethics Commission for guidance on how to proceed.)

- (3) Under §1-86, if the financial effect on you, a family member, or an associated business is insignificant(i.e. less than \$100 in a calendar year), or no different than that of a substantial segment of the general public (e.g., a regulatory official approving an increase in residential electric rates), you may act without having to follow §1-86 procedures.

FINANCIAL DISCLOSURE: Certain public servants in significant positions in the Legislative and Executive Branches of State government and the State's Quasi-Public Agencies must file annually with the Ethics Commission by May 1 statements of financial interests held during the previous year.

Additionally, each state servant must disclose to the Commission, within thirty days, any "necessary expense" payments which the individual receives in his or her capacity as a public official or state employee if lodging and/or out-of-state travel is included, unless such expenses are paid for by the Federal Government or another State Government.

Also, whenever a gift to the state incidentally benefits a public official or state employee in the amount of fifty dollars or more and is donated by an individual or entity regulated by, doing business with, or seeking to do business with the recipient agency, the individual's superior, shall certify in writing to the Ethics Commission, prior to the acceptance of the benefit, that the gift, in fact, facilitates state action or functions and is sanctioned by the recipient agency, notwithstanding any potential conflict of interests. An example of such a gift to the state is when a regulated entity pays the cost for a state regulatory employee to take a course relevant to his or her area of expertise.

ENFORCEMENT PROCEDURES, PENALTIES: Enforcement of the Code is initiated by a complaint, filed by the Commission or any member of the public. (In most instances, a Commission complaint is preceded by a confidential staff evaluation.) A two-stage process follows: (1) confidential investigation and probable cause hearing; (2) if probable cause is found, a public hearing to determine if the Code has been violated. (At any stage of the process the Commission and Respondent may negotiate a settlement.) After a finding or admission of a violation, the Commission can order the Respondent to comply with the Code in the future, file any required report or statement, and pay a civil penalty.

Alternatively, for failure to file a report, statement, or other information required by the Code the Commission can, after a single hearing, impose a civil penalty of up to \$10 per day, the aggregate penalty for any one violation not to exceed \$2,000.

If the Commission concludes a violation was intentional, it can refer the matter to the Chief State's Attorney for action. An intentional violation of the Code is a misdemeanor punishable by a fine of up to \$2,000, a jail term of up to one year, or both.

The Attorney General may sue for up to three times the economic gain received through knowingly committing or knowingly profiting from a violation of the Code.

The Commission is authorized to protect and keep confidential the identity of any individual who provides information regarding a possible violation of the Code.

IF YOU HAVE A QUESTION ABOUT THE CODE: Anyone subject to the Code may request the Commission's advice (advisory opinion) as to how the Code applies to a situation. The Commission staff also provides informal advisory letters when the

question posed is unambiguous or has been previously addressed by a Commission opinion. Finally, staff is available to discuss application of the Code to your particular issue on a confidential basis.

If you have any questions about this Guide or desire more information about the Ethics laws, please contact the Commission staff or visit the Commission's website (www.ethics.state.ct.us).

State Ethics Commission
20 Trinity Street, Suite 205
Hartford, CT 06106-1660
Phone: (860) 566-4472 Fax: (860) 566-3806
Hours: Weekdays 8:30 - 4:30

**ETHICS CODE PROVISIONS APPLICABLE TO
THOSE LEAVING STATE OR QUASI-PUBLIC AGENCY SERVICE**

1. NO FORMER PUBLIC OFFICIAL OR STATE EMPLOYEE MAY DISCLOSE OR USE CONFIDENTIAL INFORMATION, GAINED IN STATE SERVICE, FOR THE FINANCIAL BENEFIT OF ANY PERSON.

This is a lifetime prohibition. "Confidential information" is any information not generally available to the public. The information may be in any form (written, photographic, recorded, computerized, etc.) including orally transmitted information, e.g., conversations, negotiations, etc.

2. NO FORMER EXECUTIVE BRANCH OR QUASI-PUBLIC AGENCY OFFICIAL OR STATE EMPLOYEE MAY REPRESENT ANYONE (OTHER THAN THE STATE) CONCERNING ANY PARTICULAR MATTER (1) IN WHICH HE OR SHE PARTICIPATED PERSONALLY AND SUBSTANTIALLY WHILE IN STATE SERVICE AND (2) IN WHICH THE STATE HAS A SUBSTANTIAL INTEREST.

This is a lifetime prohibition. It applies regardless of where the representation occurs and whether or not compensation is involved. The term "particular matter" must almost always be determined on a case by case basis. Although the concept is essentially a narrow one, a specific "particular matter" (e.g., an administrative enforcement proceeding) cannot be further divided into separate phases (prehearing investigation, hearing, decision, etc.) To hold otherwise would frustrate a principal purpose of this provision: prevention of side switching in the midst of on-going state proceedings.

3. NO FORMER EXECUTIVE BRANCH OR QUASI-PUBLIC AGENCY OFFICIAL OR STATE EMPLOYEE SHALL, FOR ONE YEAR AFTER LEAVING STATE SERVICE, REPRESENT ANYONE (OTHER THAN THE STATE) FOR COMPENSATION BEFORE THE AGENCY IN WHICH HE OR SHE WAS EMPLOYED AT THE TIME OF LEAVING STATE SERVICE, CONCERNING ANY MATTER IN WHICH THE STATE HAS A SUBSTANTIAL INTEREST.

"Represent" (under both nos. 2. and 3.) includes any action which reveals the identity of the individual, e.g., a personal appearance, phone call, signature on a document, identification on a firm's letterhead, etc.

NOTE: A Commission policy has been established to allow former state servants to enter into consulting and other employment contracts with their former agencies within the one year period. Specifically, such conduct is permitted, as long as the re-employment is at no greater pay level than the individual was receiving at the time of separation from state service plus necessary expenses. In essence, by prohibiting the negotiation of the compensation rate, this policy prevents improper use of influence and contacts for financial advantage. At the same time, employment options of former state servants are not limited unnecessarily and the State is not denied these individuals' expertise. Those with questions concerning this policy should contact a Commission attorney.

4. NO FORMER PUBLIC OFFICIAL OR STATE EMPLOYEE WHO PARTICIPATED SUBSTANTIALLY IN, OR SUPERVISED, THE NEGOTIATION OR AWARD OF A STATE CONTRACT VALUED AT \$50,000 OR MORE MAY ACCEPT EMPLOYMENT WITH A PARTY TO THE CONTRACT (OTHER THAN THE STATE) FOR ONE YEAR AFTER RESIGNATION FROM STATE SERVICE IF THE RESIGNATION OCCURS WITHIN ONE YEAR AFTER THE CONTRACT WAS SIGNED.

Substantial participation is not limited to the chief negotiator or the individual who signs the contract. Rather, the concept of substantial participation (under both nos. 2. and 4.) applies whenever the individual exercises discretionary authority at any level of the process. "Employment" includes work as an independent contractor or consultant.

5. PERSONS WHO SERVE IN ONE OF APPROXIMATELY 75 SENIOR POSITIONS IN THE STATE'S REGULATORY AGENCIES ARE PROHIBITED, FOR ONE YEAR AFTER LEAVING STATE SERVICE, FROM ACCEPTING EMPLOYMENT WITH ANY BUSINESS SUBJECT TO REGULATION BY THEIR FORMER AGENCY.

(NOTE: positions to which this restriction applies are listed in Regulations of Conn. State Agencies §1-92-40a.)

Revised: October, 2003 (poguide)

Applicable Connecticut General Statutes

Sections 1-79 Through 1-101	Code of Ethics for Public Officials
Section 1-84	Prohibited Activities
Section 1-84a	Disclosure or use of confidential information by former official or employee
Section 1-84b	Certain activities restricted after leaving public office or employment
Section 1-85	Interest in conflict with discharge of duties
Section 1-86	Procedure when discharged of duty affects official's or state employee's financial interests. Lobbyists prohibited from accepting employment with general assembly and general assembly members forbidden to be lobbyists.
Section 1-86e	Consultants and independent contractors. Prohibited activities.
Section 5-226	Corrupt practices in relation to examinations and appointments
Section 5-266a	Political activities of classified state employees and judicial department employees. Candidacy for office. Leave if absence or resignation upon taking elective office.
Section 5-266b	Permitted activity
Section 5-266c	Regulations
Section 5-266d	Dismissal or suspension of employee. Appeal
Section 5-267	Officers, appointing authorities and employees to comply with law
Section 5-268	Penalty

**The Department of Motor Vehicles
Rowland State Government Center
55 West Main Street
Waterbury, CT 06702-2004**

Code of Ethics – Addendum 1

On-Site Travel Prohibition

Effective immediately, employees of the Department of Motor Vehicles (DMV) are **prohibited** from traveling with a registered lobbyist, contractor or person doing business with or seeking to do business with the DMV (hereinafter referred to as “interested parties”) when the purpose of such travel is to conduct an on-site visit to assess a potential project. This prohibition applies when such interested parties are or may be interested in bidding on such project and they may receive information that is unavailable to similarly situated parties.

This prohibition applies to any on-site visit, whether in-state or out-of-state travel is required. Allowing interested parties to provide the funds for expenses associated with such trips should be avoided, however, this ban is applicable regardless of the source of funds. When conducting on-site visits, all interested parties must be afforded the same opportunity to meet DMV and other state officials at the site.

This prohibition on traveling with interested parties **does not apply** once a contract is awarded and such travel is necessary to the implementation of the contract or to conduct an inspection or ensure compliance of an already existing contractual agreement. Furthermore, **it is not intended** to prohibit DMV personnel from visiting a potential vendor when an inspection is necessary to assess a particular vendor’s product or as part of DMV’s required due diligence prior to the contract award.

Examples:

1. A site visit to a future project site at a set time or times to assess the scope of work that is open to all bidders does not violate the policy; provided each bidder has access to the same information and provides answers to any questions asked to all bidders, including answers given at a later time. DMV personnel should meet all bidders at the site location.

2. A visit to a potential lease site by a property agent and a DMV representative at which the property agent, DMV representative and landlord meet to discuss the site does not violate the policy; provided that if the property agent or DMV representative affirmatively disclose information that would give insight into how potential sites are being evaluated, this information must be disclosed to all potential landlords.
3. A visit to a future project site by a DMV employee and a bidder about which the other bidders were not notified or invited violates the policy.

Questions regarding this policy should be directed to Richard Cosgrove, the Chief Administrative Officer.

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